

## **Desk Instruction 1.3 “Assessment Finding Closure Process”**

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**Revision 0**

Approved by: \_\_\_\_\_

Date: \_\_\_\_\_

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## **1.0 Introduction**

ESQ is responsible for verifying Contractor corrective actions against identified deficiencies. This desk instruction provides the process for evaluating adequacy of Contractor corrective actions and closing the related assessment Finding or assessment follow-up item (AFI) in the ORP Consolidated Action Reporting System (CARS).

## **2.0 Expectations**

The ESQ staff will review Contractor corrective actions associated with deficiencies identified an ORP review team. These reviews/evaluations will assess the adequacy of the Contractor's actions and be documented in assessment reports and CARS. Closure of assessment report Findings and AFIs in CARS will occur after ESQ accepts the Contractor's corrective actions as viable. The closure of all Contractor actions will be timely and appropriate.

## **3.0 Application**

This instruction is applicable to all ESQ inspectors tasked with the responsibility of assessing Contractor operations against DOE safety requirements and all regulations. ESQ places strong emphasis on the assessment of Contractor performance as the basis for determining the overall adequacy of the implementation of their safety management processes. Thus, when a deficiency in Contractor performance is identified, and especially when repetitive deficiencies occur, a key element for improvement evaluation is the corrective action process.

## **4.0 Procedure and Process**

The steps for closure of Contractor corrective actions are provided in the following table. A flow diagram of the process is also provided in Exhibit 1, page 4.

<b>Step #</b>	<b>Description</b>	<b>Performer</b>	<b>Support</b>
<b>Step 1</b>	Corrective action item identified via Assessment Report and input into the ORP CARS.	Assessment Team Lead	CARS Administrator
<b>Step 2</b>	Contractor submits corrective action closure documentation to ESQ Assessment Team Lead.	Assessment Team Lead	N/A
<b>Step 3</b>	Team Lead evaluates closure evidence to determine if closure is acceptable.	Assessment Team Lead	VCO

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<b>Step 4</b>	If documentation is inadequate, Team Lead requests additional information from the Contractor and continues the determination process. Go back to Step 2.	Team Lead	N/A
<b>Step 5</b>	If information from the Contractor is acceptable, ESQ performs a follow-up Assessment and evaluates corrective actions in the field.	Team Lead	Contractor
<b>Step 6</b>	Acceptance of corrective action is determined at the end of the assessment, and is documented in the Assessment Report.	Team Lead	N/A
<b>Step 7</b>	If correct action closure is not accepted during follow-up Assessment, Team Lead schedules a follow-up assessment action with the Contractor. Go back to Step 5.	Team Lead	Contractor
<b>Step 8</b>	Once the Team Lead determines that corrective action is acceptable, verified and documented in a report, the report is submitted to the VCO for concurrence.	Team Lead	VCO
<b>Step 9</b>	If VCO concurs with the report, it is submitted to the ESQ Director for approval.	VCO	ESQ Director
<b>Step 10</b>	If the ESQ Director disapproves the report, a follow-on assessment occurs - go back to Step 5.	ESQ Director, VCO and Team Lead	N/A
<b>Step 11</b>	ESQ Director approves the assessment report and corrective action closure.	ESQ Director and VCO	Team Lead
<b>Step 12</b>	Team Lead inputs closure of the corrective action into CARS and documents via the approve assessment report.	Team Lead	CARS Administrator

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### Exhibit I – Process Flow Diagram

